OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO)
FY 2005 HUMAN CAPITAL MANAGEMENT PLAN

Executive Summary: The Chief Information Officer (CIO) for the Department of Energy is fully responsible for the design, implementation, and continuing successful operation(s) of Information Technology (IT) programs and initiatives throughout the Department and its offices. A government and contractor team led by employees of the OCIO formed a Most Efficient Organization and recently won the A-76 Competition to perform IT functions for the Department.

The OCIO Human Capital Management Plan has been designed to support the mission of the OCIO. Significant progress in the full range of initiatives in human capital management improvement has been made, and the OCIO has aligned human capital management to the mission of the organization. Skills needs assessments of the current workforce have been conducted and key competencies for development to accomplish OCIO and DOE Strategic Plan goals and objectives through appropriate training, mentoring, and developmental assignments have been identified to the extent possible pending the recent A-76 decision. Recruitment actions have been limited to identified critical positions for most of FY 05, and the OCIO has recently implemented a hiring freeze. Given a high number of eligible retirees in the next several years, succession planning is underway through the use of Career Development Programs to ensure employees are better positioned to transition into leadership positions and through initiatives that maximize the use of corporate knowledge management. From an Enterprise perspective, certification of IT Project Managers identified in the Capital Planning and Investment Control process on Exhibit 300s is an ongoing initiative to ensure that employees managing multi-million dollar projects have the necessary skills to manage projects on cost, on schedule, and within performance targets. Performance plans for Senior Executive Service and managers are linked to the DOE mission and cascaded down throughout the workforce. Formal recognition of outstanding performance is recognized through the use of monetary awards for performance, special act awards, quality step increases, and other innovative awards, including time-off awards and certificates of appreciation. The OCIO continues to support the Departmental initiatives for a flexible workforce.

Efforts are underway to restructure the organization to implement provisions of the A-76 decision. In anticipation of the restructuring, the OCIO's strategy to address human capital planning has included planning for buy-outs/early-outs, severance pay, contract termination fees, employee training, and a temporary workforce during the transition. The OCIO plans to continue to build on the foundation already established to make workforce recruitment and retention decisions based on mission needs and customer expectations to close skill gaps in the short-term and long-term in its current and anticipated workforce; to employ a diverse workforce; provide for continuity of leadership through succession planning and professional/career development; continue to develop and foster knowledge management programs to share and transfer institutional knowledge; build a direct line between employee performance expectations and mission accomplishment; and utilize the current administrative tools and flexibilities in combination with innovative strategies to maximize return on investment.

OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO)
FY 2005 HUMAN CAPITAL MANAGEMENT PLAN

Office Mission Statement: The Office of the Chief Information Officer (OCIO) is working to affect governance and provide access to modern, reliable, and secure information technology (IT) infrastructure and systems to support and enhance the DOE missions in the 21st century.

Human Capital Strategy Statement: A DOE workforce with the necessary IT skills, which guarantees that the human resources supporting IT functions are the best qualified, operationally efficient, and performance driven.

Business Vision: The CIO Business Vision has identified E-Government as being critical to meeting today's citizen and business expectations for interaction with the government. The CIO vision is to focus on enterprise architecture, IT capital planning and investment control, performance measurement, enterprise data quality improvement, and ensuring that the skills exist within the Department of Energy to leverage IT to better support key business lines. Systems will be accurate and electronic, and will possess the ability to provide real time information on budget, accounting, and performance measures to support managers and decision makers.

OCIO Workforce Plan – FY 2005

Requirements	Results
Integrate HCM Plan into decision-making processes • Plan linked to DOE mission, strategy, and goals • Designates accountable officials	Executive and supervisory mission-related performance plans have been established that track human capital management activities, accountability for line item projects, and GAO/IG audit activities. Performance plans for all OCIO employees link directly to their respective senior executive core performance elements. (Performance plans developed FY 05 Q1; updated to reflect accountability of line item projects and GAO/IG audit activities FY 05 Q2.)
Demonstrate improvement in meeting hiring-time goals • auditable system for collecting and analyzing hiring data	The average hiring time for SES hires in FY 04 was 49 days, due largely to scheduling conflicts of panel members. OCIO has not recruited for SES positions in FY 05. The average hiring time for GS hires was 20 days in FY 04 and 36 days in FY 05, which meets the 45-day hiring time goal. (Ongoing) Specific Goals: • Maintain personnel status report of all recruit actions, tracking dates of all phases of the recruitment process from the vacancy closing date to date selection certificates are received in ME; i.e., to determine time spent for subject matter expert (SME) reviews, SES panels, and interviews. (Ongoing) • Upon request from ME, provide within 24

	• hours an SME to review applications. Five SMEs were provided to ME within 24 hours of ME's request. (Ongoing) • Solicit panel members for SES recruitments prior to vacancy closing date so that panel can convene within two weeks of closing date (pending completion of ME's qualification review). OCIO did not recruit for any SES positions in FY 05. • Complete selection certificates and return to ME no later than 30 days from receipt, unless circumstances are beyond the OCIO's control; i.e., medical emergencies, etc. Of the 12 selection certificates received in FY 05, two certificates were extended beyond the 30-day timeframe due to a medical emergency of the selecting official and additional time required to interview seven candidates. (Ongoing)
Significantly reduce skills gaps in mission-critical occupations • identify mission-critical skills, needs, number available, and gaps • address certification needs by level for project managers, contract, and information technology managers • develop strategies to create workplace that attracts talent • integrate the results of competitive sourcing and e-Gov	• The OCIO has an active IT Project Management Qualification process and continues to actively work with the Program Elements to ensure that IT Project Managers for all major IT investments as identified on the DOE Budget Exhibit 300s are qualified by the end of each FY. (Ongoing) • A revalidation of the needs assessment based on direction from OMB as it relates to project management of major IT investments (enterprise-wide IT Project Management Qualification Program) has been provided to ME. (FY 05 Q2) • A mission critical skills assessment has been conducted for the programs institutionalized in DOE O 413.3 (Program and Project Management for the Acquisition of Capital Assets) that will not be immediately impacted by the implementation of the A-76 Competitive Sourcing Award to procure critical IT services for the Department (i.e., IT Project Management Qualification). While the OCIO can identify projected skills gaps, it is premature to develop tactical plans against which we can be held accountable pending restructuring of the OCIO organization and implementation of the A-76 decision. (FY 05

	Q2)
	• Conducted a management/leadership competency assessment of the OCIO management cadre in support of the Departmental effort to identify possible deficiencies within the OPM Executive Core Qualifications. (FY 05 Q4)
	• Conducted a web-based skills assessment of the Departmental federal IT workforce that included self assessment and manager/employer assessment of IT staff. No significant skills gaps were identified that would prohibit the Department from meeting its mission critical functions. (FY 05 Q4)
	• The OCIO has developed and implemented a Student Loan Repayment Program to facilitate recruitment and retention of staff. (Institutionalized FY 04 Q3)
	• The OCIO continues to promote a flexible workforce providing employees opportunities to participate in the flexiplace program and use of alternative work schedules. (Ongoing)
Implement succession strategies • include executive development programs • result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge	• The OCIO has developed and implemented an IT Project Manager certification process to ensure that project managers for key IT investments as identified on the DOE Budget Exhibit 300s are certified. The IT Project Management Certification initiative was implemented in accordance with Office of Management and Budget mandates and has been integrated with DOE's Capital Planning Investment Control Program review and oversight activities for all new/future major IT investments. IT staff who do not currently manage IT investments as identified on Budget Exhibit 300s are being given opportunities to develop project management skills to support future investments. (Institutionalized FY 03 Q4)
	• The OCIO encourages employee participation in a variety of DOE developmental training/mentoring programs, both internal and external to the agency, to enhance skill sets and to maximize the use of corporate knowledge.

	- One employee (GS-14) is on a 1-year detail to the National Communications System to support the development, implementation, and administration of programs supporting national security and emergency preparedness telecommunications. (FY 05 Q3 through FY 06 Q3) - One employee (GS-15) is on a 2-year detail to NNSA to assist with developing recommendations for resolving security issues associated with the inappropriate handling of classified removable electronic media. (FY 05 Q2 through FY 07 Q2) - Executive and Career Development Programs continue to be used to the maximum extent of funding availability to ensure employees are better positioned to transition into leadership positions, linking individual development to improved agency performance. - Two employees (one GS-13 and one GS-14) completed the Leadership Transition Program. (FY 05 Q1) - One GS-15 employee participated in the Executive Potential Program (through FY 05 Q2). - Three GS-15 managers attended the Federal Executive Institute (one in FY 05 Q1 and two in FY 05 Q2). - One GS-11 employee is participating in the Leadership Transition Program (FY 05 Q3 through FY06 Q3). - One GS-14 employee has applied to the 2005-2006 Excellence in Government Fellows Program. - Five employees have been temporarily promoted into supervisory positions for 120 days in FY 05, providing opportunities for leadership development. - Two GS-15 managers are scheduled to attend the Federal Executive Institute in FY 06 (one in Q1 and one in Q3).
Link Knowledge Management effort to DOE portal	The OCIO is using the following planned approach to enhance the use of KM within the Department. The OCIO continues to actively work with the

Program Elements to ensure that IT Project Managers identified on the DOE Budget Exhibit 300s are qualified (have the necessary skills needed to manage projects on cost, on schedule, and within performance targets) by the end of each FY.   (Ongoing)

- An OCIO Knowledge Management Policy and Strategic Plan have been drafted that is contingent on establishment of the DOE Corporate Knowledge Management Program. (Draft completed FY 03 Q4)

- The OCIO continues to partner with ME to address the knowledge management initiative through participation on the DOE Corporate Knowledge Management Working Group. (Ongoing)

- Mentoring and rotational assignments are utilized to provide on-the-job training to enhance skill sets and to maximize the use of corporate knowledge management. (Ongoing)

- A survey of existing KM activities has been completed to identify KM Subject Matter Expert/KM Tools and Methodology Directories. (FY 05 Q2)

- Use KM methodologies to capture information from OCIO personnel retiring or leaving the Department. (Institutionalized FY 05 Q2)
    - Exit interviews.
    - Position folders.
    - Need for specific debriefings needed.
    - Close out of records and e-mail.
    - Need for oral histories identified.

- Use KM methodologies and practices in the development of the OCIO residual organization, to identify additional communities of practice, and potential additional opportunities for KM expansion. (FY 05 Q4 through FY 06)

- Establish a Taxonomy and Records Disposition Schedule to create the infrastructure for an enterprise-wide e-content/KM system. (FY 06)

- Conduct a survey of HQ organizations to identify related IT/records management KM

OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO) FY 2005 HUMAN CAPITAL MANAGEMENT PLAN	
	activities/initiatives underway, such as major IT systems on the DOE/FOIA website and identification of information of potential interest to researchers on the Historian website. (FY 06)
Implement strategies to address under-representation of minorities - particularly in mission-critical occupations and leadership - establish processes to improve and sustain diversity	The OCIO continues to address diversity initiatives; however, such outreach efforts have been limited to a large extent due to limited recruitment actions to fill mission critical positions and the recently imposed hiring freeze pending restructuring of the OCIO and implementation of the A-76 decision. - One internal OCIO black male employee was promoted into a critical GS-15 leadership position. (FY 05 Q1) - Two black male employees were hired into critical GS-15 leadership positions. (FY 05 Q3 and Q4) - One internal OCIO female employee was promoted into a GS-15 critical leadership position. (FY 05 Q2) - One internal OCIO female employee was promoted into a career ladder GS-12/13 position. (FY 05 Q3) - Two internal OCIO female employees were promoted into GS-12 positions. (FY 05 Q3) - One internal OCIO minority female employee was promoted into a GS-14 position. (FY 05 Q3) - Two internal OCIO female employees, one of whom is a minority, were promoted into career-ladder GS-11/12/13 positions. (FY 05 Q4) - Two internal OCIO minority employees, one of whom is a female, were promoted into GS-14 positions. (FY 05 Q3) - One minority female employee was hired under the Student Temporary Employment Program. (FY 05 Q3) - One female employee was reassigned from another DOE organization into an OCIO GS-9 position. (FY 05 Q3) Although the OCIO population has decreased by 12% since FY 02, its diversity status has increased

OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO) FY 2005 HUMAN CAPITAL MANAGEMENT PLAN	
	by 4% since FY 02 as follows: • Black females from 15% to 16% (an increase of 1%) • Black males from 7% to 10% (an increase of 3%) • Hispanic females from 0% to 1% (an increase of 1%) • Hispanic males from 2% to 1% (a decrease of 1%) • The overall female population has increased by 8% based on the total population from FY 02 (104) to FY 05 Q2 (92).

Analyze and optimize organizational structures for service and cost
• use redeployment and de-layering as necessary
• integrate competitive sourcing and e-Gov solutions
• put processes in place to address future needs for change
	Efforts are underway to restructure the OCIO organization to implement provisions of the IT Services A-76 decision awarded in July 2005 whereby DOE-wide IT services will be performed by the OCIO federal employees in partnership with a contractor workforce. Under this study, excess organizational layers and redundant operations will be assessed with a goal to streamline business processes. (FY 05 Q4 through FY 06)
	
	In anticipation of the organizational restructuring and implementation of the A-76 decision, the following initiatives are in place to minimize the impact of any potential RIF (reduction in force), as well as maximize the effectiveness and efficiency of the organization:
	• Recruitment actions have been limited to identified critical positions with priority consideration given to qualified internal OCIO candidates, where appropriate, for most of FY 05. A hiring freeze on recruitment actions was subsequently implemented in FY 05 Q4.
	• OMB and OPM authority has been obtained to offer VERAs (early-outs) and VSIPs (buy-outs) through FY 06 to specific series and grade levels within those series to minimize the impact of any potential RIF, as well as maximize the effectiveness and efficiency of the organization. (FY 05 and FY 06)
	   • Ten employees have taken advantage of the VERAs/VSIPs. (FY 05 Q2)
	     • GS-343-12 – Management Analyst

	(one) • GS-343-14 Management Analyst (one) • GS-391-14 – Telecommunications Specialist (one) • GS-2210-9 – IT Specialist (two) • GS-2210-11 – IT Specialist (one) • GS-2210-13 – IT Specialist (one) • GS-2210-14 – IT Specialist (three) • Two GS-560-11 Budget Analyst positions were eliminated upon their separation from DOE. (FY 05 Q2 and Q3) • One GS-2210-14 IT Specialist position has been eliminated due to the internal promotion of an OCIO employee into a critical leadership position (GS-15). (FY 05 Q1) • Three GS-2210 IT Specialists (one GS-9 and two GS-14s) have been redeployed within the OCIO to support enterprise-wide e-Gov initiatives. (FY 05 Q2) • A retention allowance was given to an employee who currently has the most experience and knowledge of the Records Management Program within the OCIO. The employee was likely to leave the Federal Government without this incentive, and there was a very low probability of hiring an employee who possesses the unusually high and unique qualifications for this critical position which could jeopardize the ability of the Records Management Program to meet all of its goals and objectives. (FY 05 Q2)
Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the workforce • differentiate between various levels of performance • provide consequences based on performance	The DOE Employee Performance Management System, the DOE Performance Management System for Managers and Supervisors, and the DOE Senior Executive Service Performance Management System are used to guide rating officials in assessing performance. These performance systems also provide criteria for award incentives that are based upon the differentiation between high and low performance. • Senior executives' performance is differentiated into four levels of ratings

(Outstanding, Meets Expectations, Needs Improvement, and Unacceptable).

- Managers/supervisors' performance is differentiated into four levels of ratings (Significantly Exceeds Expectations, Meets Expectations, Needs Improvement, and Fails to Meet Expectations).
- Employees' performance is differentiated by numeric ratings, with 4.0 being the highest rating

Performance Plans

- 100% of performance plans for the SES and supervisory positions are linked to the DOE mission. (FY 05 Q1)
- 100% of the current workforce are under performance plans that are linked to the OCIO mission and objectives, and are tied directly to the FY 05 Congressional budget and/or the PMA initiatives as referenced in the FY 05 Mission Objectives Performance Management Tracking Report for OCIO to formally document individual responsibility and accountability for mission-related accomplishments. (FY 05 Q1)
- Performance plans have been updated to reflect accountability for line item projects and for GAO/IG audit activities. (FY 05 Q2)

All employees (including GS employees, supervisors/managers, and executives) are eligible to receive bonuses based on their performance ratings. Performance ratings are given annually based on employees' responsibility and accountability for mission-related accomplishments.

- GS employees receiving a rating of 2.7 or higher are granted performance bonuses that are calculated based on their performance rating, grade, and point value.
- Supervisors/managers receiving a Significantly Exceeds rating receive a performance bonus of at least 5% of their base pay. Supervisors/managers receiving a Meets Expectations rating may receive an award, but only at management's discretion.

	• A total of 90 GS employees and supervisors/managers received performance bonuses based on their responsibility and accountability for mission-related accomplishments within FY 04. (FY 05 Q1)
	• Executives receiving an Outstanding rating must receive a performance bonus of 5%-20% of their base pay. Executives receiving a Meets Expectations rating are eligible to receive a performance bonus of 5%-9% of their base pay, but only at management's discretion.
	  • Five executives received performance bonuses for mission-related accomplishments within FY 04. (FY 05 Q2)
	• In lieu of performance awards, Quality Step Increases (QSIs) are offered to employees and supervisors/managers receiving outstanding ratings (QSI recipients and the number of QSIs to be offered are determined by QSI criteria and funds availability).
	  • Six QSIs were granted based on FY 04 performance. (FY 05 Q1)

Use outcome measures to make HC decisions • link HCM Plan to Program Plan(s) and FY 07 Budget	The OCIO's strategy to address human capital planning pending restructuring of the OCIO organization and implementation of the A-76 decision includes offering buy-outs/early-outs, severance pay, contract termination fees, employee training, and a temporary workforce during the transition, if needed. Human capital planning and workforce budgeting has been accomplished through limiting recruitment actions to critical positions with priority consideration given to qualified internal OCIO candidates for most of FY 05, and re-deploying current staff into critical vacated positions. A hiring freeze on recruitment actions was subsequently implemented in FY 05 Q4. This will ensure the OCIO focuses its resources on fulfilling its mission and mitigating any impacts resulting from a potential RIF pending restructuring of the organization and implementation of the A-76 decision. An estimated savings of $200,000 will be realized in FY 05 from employees taking advantage of early-

OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO) **FY 2005 HUMAN CAPITAL MANAGEMENT PLAN**	
	outs/buy-outs. Information contained in the Enterprise Architecture Human Capital Model will be used to ensure that programming priorities are appropriately staffed by human resources as the OCIO realigns the organization "post A-76."